

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**



## On the Application of

**DEC** John C. Harvey and James W. Cuddihy  
**28**  
**1995** Serial No. 08/474,146

Group Art Unit: 2602

## **Examiner**

Atty Dkt: 5634.186

For

## SIGNAL PROCESSING APPARATUS AND METHODS

## **TRANSMITTAL**

**Assistant Commissioner of Patents  
Washington, D.C. 20231**

- Filing Receipt Correction Action.
  - Supplemental Preliminary Amendment.
  - Information Disclosure Statement and PTO 1449.
  - Declaration under 37 CFR 1.9 and 1.27 establishing small entity.
  - The fee has been calculated as shown below:

| (Col 1)                                   | (Col 2)                               | (Col 3)          |       |                |                       |
|---|---------------------------------------|------------------|-------|----------------|-----------------------|
| Claims<br>Remaining<br>After<br>Amendment | Highest No.<br>Previously<br>Paid for | Present<br>Extra | Rate  | Additional Fee |                       |
| Total                                     | *18                                   | Minus            | ** 20 | =0             | x \$ 11      \$ 00.00 |
| Indep.                                    | *5                                    | Minus            | *** 3 | =2             | x \$ 39      \$ 78.00 |
| First Presentation of Mult. Dep. Claim    |                                       |                  |       |                | x \$ 125      \$ .00  |
| <b>Total Additional Filing Fee</b>        |                                       |                  |       |                | \$ .00                |
| <b>Total Fee Enclosed</b>                 |                                       |                  |       |                | \$ 78.00              |

- \* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.
  - \*\* If the "Highest Number Previously Paid For" *in this space* is less than 20, write "20" in this space.
  - \*\*\* If the "Highest Number Previously Paid For" *in this space* is less than 3, write "3" in this space. "The Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

- [X] Howrey & Simon check no. 115695 in the amount of \$78.00 is enclosed.  
[X] The Commissioner is hereby authorized to charge payment of the following fees  
associated with this communication or credit any overpayment to Deposit Account No.  
08-3038. This sheet is submitted in triplicate.

[x] Any filing fees under 37 CFR 1.16 for the presentation of extra claims.  
[x] Any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

Thomas J. Scott, Jr.  
Registration No. 27,836  
Attorney for Applicant

Date: November 12, 1995  
**HOWREY & SIMON**  
1299 Pennsylvania Avenue, NW  
Washington, D.C. 20004  
Tel: (202) 783-0800

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

96 APR 25 AM 6:10

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D      | ATTORNEY DOCKET NO. | DRWGS | TOT CL | IND CL |
|--------------------|-------------|--------------|--------------------|---------------------|-------|--------|--------|
| 08/474,146         | 06/07/95    | 2602         | \$730.00 GROUP 600 | 5634.186            | 22    | 1      | 1      |

THOMAS J SCOTT JR  
HOWREY & SIMON  
1299 PENNSYLVANIA AVENUE NW  
WASHINGTON DC 20004

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GROUP 250

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

## Applicant(s)

JOHN C. HARVEY, NEW YORK, NY, JAMES W. CUDDIHY,  
NEW YORK, NY

## CONTINUING DATA AS CLAIMED BY APPLICANT-

|  |               |
|--|---------------|
| THIS APPLN IS A CON OF 08/113,329 08/30/93 | PAT 5,233,654 |
| WHICH IS A CON OF 07/849,226 03/10/92      | PAT 5,109,414 |
| WHICH IS A CON OF 07/588,126 09/25/90      | PAT 4,965,825 |
| WHICH IS A CON OF 07/096,096 09/11/87      | PAT 4,704,725 |
| WHICH IS A CIP OF 06/829,531 02/14/86      | PAT 4,694,490 |
| WHICH IS A CON OF 06/317,510 11/03/81      |               |

FOREIGN FILING LICENSE GRANTED 08/18/95

## TITLE

SIGNAL PROCESSING APPARATUS AND METHODS

PRELIMINARY CLASS: 348



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

PATENT

Application of

96 APR 25 AM 6:18

John C. Harvey and James W. Cuddihy

GROUP 260

Group Art Unit 2602

Serial No. 08/474,146

: Examiner:

Filed June 7, 1995

: Atty. Dkt: 5634.186

For SIGNAL PROCESSING APPARATUS AND METHODS

REQUEST TO CORRECT FILING RECEIPT

Application Processing Division's Customer Correction Branch  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants respectfully request that the Filing Receipt (a copy of which is submitted herewith) with respect to the above-identified application be corrected. Applicants noticed that the "Continuing Data as Claimed by Applicant(s)" is incorrect and should be amended as indicated below:

|                        |            |          |               |
|------------------------|------------|----------|---------------|
| THIS APPLN IS A CON OF | 08/113,329 | 08/30/93 |               |
| WHICH IS A CON OF      | 08/056,501 | 05/03/93 | PAT 5,335,277 |
| WHICH IS A CON OF      | 07/849,226 | 03/10/92 | PAT 5,233,654 |
| WHICH IS A CON OF      | 07/588,126 | 09/25/90 | PAT 5,109,414 |
| WHICH IS A CON OF      | 07/096,096 | 09/11/87 | PAT 4,965,825 |
| WHICH IS A CIP OF      | 06/829,531 | 02/14/86 | PAT 4,704,725 |
| WHICH IS A CON OF      | 06/317,510 | 11/03/81 | PAT 4,694,490 |

The above serial numbers and filing dates are indicated on Applicants' Declaration, a copy of which is enclosed.

Respectfully submitted,

Thomas J. Scott, Jr.  
Registration No. 27,836  
Attorney for Applicants

Date: November 12, 1995

HOWREY &amp; SIMON

1299 Pennsylvania Avenue, NW  
Washington, D.C. 20004

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  
John C. Harvey and James W. Cuddihy : Group Art Unit: 2602  
Serial No. 08/474,146 : Examiner  
Filed June 7, 1995 : Atty Dkt: 5634.186  
For SIGNAL PROCESSING APPARATUS  
AND METHODS

CHANGE TO SMALL ENTITY STATUS

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

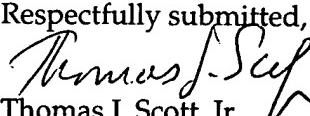
The present application was accorded large entity status. Small entity status is desired for the present application.

Submitted herewith is the Small Entity Declaration filed with the parent application establishing small entity status.

REMARKS

The Commissioner is hereby authorized to charge Deposit Account No. 08-3038 any insufficient funds in connection with the filing of the instant papers. *This sheet is submitted in triplicate.*

Date: December 28, 1995  
HOWREY & SIMON  
1299 Pennsylvania Avenue, NW  
Washington, D.C. 20004  
Tel: (202) 783-0800

Respectfully submitted,  
  
Thomas J. Scott, Jr.  
Registration No. 27,836  
Attorney for Applicants



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor(s): John C. Harvey, James W. Cuddihy

Serial No.: Unassigned

Filing Date: Herewith

For: Signal Processing Apparatus and Methods

Group Art Unit: Unassigned

Examiner: Unassigned

**Box PATENT APPLICATION**  
Commissioner of Patents and Trademarks  
Washington D.C. 20231

**VERIFIED STATEMENT (DECLARATION)**  
**CLAIMING SMALL ENTITY STATUS (37 C.F.R. §§ 1.9(f) & 1.27(c))**  
**SMALL BUSINESS CONCERN**

I hereby declare that I am an official of the small business concern identified below who is empowered to act on behalf of the concern:

Name of Small Business Concern: The Personalized Mass Media Corporation  
Address: 333 East 57th Street  
New York, New York 10022

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 C.F.R. § 121.12, and reproduced in 37 C.F.R. § 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **Signal Processing Apparatus and Methods** by inventor(s) **John C. Harvey and James W. Cuddihy**, described in the application being filed herewith.

The rights held by the above-identified small business concern are exclusive.

I acknowledge the duty to file, in this application, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

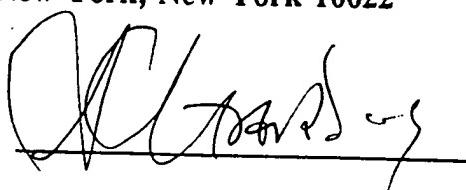
I declare that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Name of Person Signing: John C. Harvey

Title: President

Address: 333 East 57th Street  
New York, New York 10022

SIGNATURE:



DATE: August 28, 1993